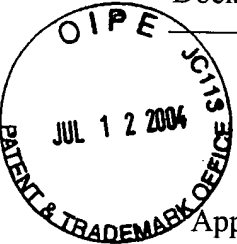


JFW



INFORMATION DISCLOSURE STATEMENT

Applicant : Tomasini, et al.
App. No. : 10/799,335
Filed : March 12, 2004
For : METHOD TO PLANARIZE AND
REDUCE DEFECT DENSITY OF
SILICON GERMANIUM
Examiner : Unknown
Group Art Unit : 2812

CERTIFICATE OF MAILING

I hereby certify that this correspondence and all marked attachments are being deposited with the United States Postal Service as first-class mail in an envelope addressed to: United States Patent and Trademark Office, PO Box 1450, Alexandria, VA 22313-1450, on

9 July 2004

(Date)

Kyle F. Schlueter
Kyle F. Schlueter, Reg. No. 54,912

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Enclosed is form PTO-1449 listing thirty three (33) references. Copies of disclosed U.S. patents and/or publications are not included pursuant to PTO waiver of the requirement under 37 C.F.R. § 1.98(a)(2)(i) for applications filed after June 30, 2003. Copies of other references, if listed, are enclosed.

This Information Disclosure Statement is being filed before the receipt of a first Office Action on the merits, and presumably no fee is required in accordance with 37 C.F.R. § 1.97(b)(3). If a first Office Action on the merits was mailed before the mailing date of this Statement, the Commissioner is authorized to charge the fee set forth in 37 C.F.R. § 1.17(p) to Deposit Account No. 11-1410.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: 9 July 04

By: Kyle F. Schlueter
Kyle F. Schlueter
Registration No. 54,912
Attorney of Record
Customer No. 20,995
(949) 760-0404

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
ASMEX.447AAPPLICATION NO.
10/799,335INFORMATION DISCLOSURE STATEMENT
BY APPLICANT

(USE SEVERAL SHEETS IF NECESSARY)

APPLICANT
Tomasini, et al.FILING DATE
March 12, 2004GROUP
2812

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
	1	3,602,778	08/31/71	Ura, et al			
	2	3,720,877	03/13/73	Zarowin			
	3	3,729,645	04/24/73	Redington			
	4	3,737,739	06/05/73	Blakeslee, et al.			
	5	3,984,718	10/05/76	Fein, et al.			
	6	3,984,857	10/05/76	Mason			
	7	3,985,590	10/12/76	Mason			
	8	4,461,820	07/24/84	Shirai, et al.			
	9	4,656,013	04/07/87	Hiai, et al.			
	10	4,699,892	10/13/87	Suzuki			
	11	4,786,574	11/22/88	Shirai, et al.			
	12	4,803,186	02/07/89	Chen, et al.			
	13	4,857,270	08/15/89	Maruya, et al.			
	14	4,868,014	09/19/89	Kanai, et al.			
	15	4,983,274	01/08/91	Chen, et al.			
	16	5,037,775	08/06/91	Reisman			
	17	5,112,439	05/12/92	Reisman, et al.			
	18	5,281,274	01/25/94	Yoder			
	19	5,281,299	01/25/94	Escoffier, et al.			
	20	5,294,285	03/15/94	Kanai, et al.			
	21	5,316,958	05/31/94	Meyerson			
	22	5,366,554	11/22/94	Kanai, et al.			
	23	5,482,557	01/09/96	Kanai, et al.			
	24	5,576,247	11/19/96	Yano, et al.			
	25	5,646,073	07/08/97	Grider, et al.			
	26	5,667,586	09/16/97	Ek, et al.			
	27	5,818,100	10/06/98	Grider, et al.			

EXAMINER

DATE CONSIDERED

*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.



FORM PTO-1449		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. ASMEX.447A		APPLICATION NO. 10/799,335	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY)				APPLICANT Tomasini, et al.			
				FILING DATE March 12, 2004		GROUP 2812	

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
	28	6,242,080 B1	06/05/01	Kondo			
	29	6,451,641 B1	09/17/02	Halliyal, et al.			
	30	6,515,219 B2	02/04/03	Kondo			
	31	2003/0010978 A1	01/16/03	Burden			
	32	2003/0111013 A1	06/19/03	Oosterlaken, et al.			

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	33	JP 62017004	01/26/87	Japan			abstract	only

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)	
	34	
	35	
	36	
	37	
	38	

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070804

EXAMINER	DATE CONSIDERED
<p>*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.</p>	

**OUTGOING
U.S. DOCKETING PATENT CHECKLIST
INFORMATION DISCLOSURE STATEMENT**

CLIENT CODE: Domex, 447A

JUL 09 2004

DOCKETING AGENT: A. Colter

DATE: _____

CHECKLIST INDICATORS: Y = Yes N = No ✓ = Not Applicable

Verify That The Following Has Been Entered Correctly:

Postcard

- ☒ Today's date.
- ☒ Docket number.
- ☒ Applicant information.
- ☒ Title is correct and ellipsis (. . .) used when title is incomplete or shortened.
- ☒ Application number.
- ☒ Filing date.
- ☒ Examiner (if applicable).
- ☒ Art Unit (if applicable).
- ☒ Attorney's initials indicated.
- ☒ Assistant's initials indicated.
- ☒ Number of pages and/or references are filled in where required.
- ☒ Initial postcard at "...QC:" once everything has been verified.
- ☒ All enclosures are marked on postcard.

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- ☒ Docket Number is listed.
- ☒ Check is signed.
- ☒ Check is dated.

Transmittal (May be submitted without Transmittal)

- ☒ Docket number.
- ☒ Applicant information.
- ☒ Title is correct and complete.
- ☒ Application number.
- ☒ Filing date.
- ☒ Examiner (if applicable).
- ☒ Art Unit (if applicable).
- ☒ All enclosures marked on postcard are listed on the transmittal.
- ☒ Number of pages and/or references are filled in where required.
- ☒ Signed check for \$180.00 is included (if applicable).

☒ Certificate of mailing is signed and dated with today's date. (Certificate of Mailing is not a requirement).

☒ Signed by Attorney or Agent.

Information Disclosure Statement Page:

- ☒ Docket number.
- ☒ Applicant information.
- ☒ Application number.
- ☒ Filing date.
- ☒ Verify Title.
- ☒ Examiner (if applicable).
- ☒ Art Unit (if applicable).
- ☒ Customer Number 20,995 (if applicable)
- ☒ Certificate of mailing is signed and dated with today's date (if applicable).
- ☒ Signed and dated.

PTO FORM 1449:

- ☒ Docket number.
- ☒ Applicant information.
- ☒ Application number.
- ☒ Filing date.
- ☒ Examiner (if applicable).
- ☒ Art Unit (if applicable).
- ☒ Patent document numbers, filing dates and names are all listed.
- ☒ U.S. References do not have to be included if the filing date is after 7/1/2003.
- ☒ Foreign patent and/or other documents information are all listed and included (if applicable).
- ☒ Total number of references and information have been verified.

Envelope

- ☒ Proper sized envelope is being used.
- ☒ Addressed to: Commissioner for Patents, PO Box 1450 Alexandria, VA 22313-1450.

_____ The client code and attorney's initials appear on the envelope.

_____ Place the PTO documents inside the envelope.

File Copy

_____ File copy is complete including everything being transmitted to the PTO, check(s) and postcard.

_____ Complete file copy is secured in the center of the file.

Letter to Client (if applicable):

_____ Addressee on letter is the same as the envelope.

_____ Title is correct and complete.

_____ Application number entered correctly.

_____ Docket number.

_____ The client code and attorney's initials appear on the envelope.

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In the Patent Management System:

_____ Click on the "Country Applications Data" tab. At "Case Number" type the client code and click on the "Start Search" tab.

_____ If it is unclear they are filing cited art from/in *all search reports or 892's* you ***must*** contact the filing (working) attorney to confirm. You may not close out these dates without attorney confirmation.

_____ Click on the "List of Actions" tab and look for an open action such as, *IDS Due or Rev Intl Srch Rpt/File IDS or Possible IDS* and click on the ellipse button to the right of the action.

_____ In the taken field, type the date the IDS was/is being filed. Click on the "Save & Exit" tab.

_____ When you receive authorization from the working Attorney to close out all/certain *IDS Due or Rev Intl Search Report/File IDS or Possible IDS* actions you must enter in remarks, on the first line *Per [atty, asst] close out this date; cited art submitted [filing date for submission of IDS or cited art] and your initials*

_____ Click on the ellipse button next to a blank row to create a new action. Use the action MD DOCUMENT PTO and the date the IDS is/was being filed as the base date. Click on the Save tab. Replace the asterisk next to the Postcard Recvd/ * with IDS or Suppl IDS. Click on the Save tab.

_____ Remarks indicate the total number of references including any other enclosures (i.e., IDS w/5 References and an International Search Report)..

Click on the Print tab to print a copy of the action.

Print the Face Sheet

_____ Double-check your work product.

_____ Place the Face Sheet in the Plastic Sleeve on the front of the file.

_____ Fasten the Checklist to the top of the file.

Log the file out to "DOCK" and place on your shelf for audit trail check.

Audit Trail Checked By: _____

Date: _____

USE THE FOLLOWING INDICATORS WHEN MARKING THE CHECKLIST:

Y = Yes

N = No

✓ = Not Applicable

NOTE: Do not use an indicator if there are errors, rather use the indicator once the errors have been corrected.

Verify the following information is correct:

_____ The applicable action has been closed with the date the filing was mailed to the PTO and remarks have been correctly added.

_____ If applicable, check for \$180.00 was submitted.

The following action is open:

_____ Postcard Recvd?/IDS or Suppl IDS

_____ Remarks indicate the total number of references and any other enclosures (i.e., IDS w/5 Ref's & International Search Report).

Fasten the checklists in the center section of the file.

Log the file to the appropriate location.